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October 13, 1977

Letter Report 282.3

Honorable Richard Alatorre
Chairman, Assembly Select
Committee on Corrections
1116 9th Street, Room 31
Sacramento, California 95814

Dear Assemblyman Alatorre:

I am pleased to forward a cost analysis of selected facility housing units maintained by the Department of Corrections at five institutions.

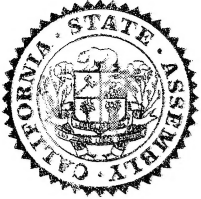
The total institutional costs per inmate range from \$7,004 to \$10,335 annually.

The auditors are Harold L. Turner, Audit Manager; Robert J. Maloney; Michael L. McGarity; and Edwin H. Shepherd.

Cordially,

MIKE CULLEN
Chairman

cc: President pro Tempore of the Senate
Speaker of the Assembly
Members of the Joint Legislative Audit Committee



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October 7, 1977

Letter Report 282.3

Honorable Mike Cullen
Chairman, and Members of the
Joint Legislative Audit Committee
Room 5144, State Capitol
Sacramento, California 95814

Dear Mr. Chairman:

In response to a resolution by the Joint Legislative Audit Committee, we conducted a cost analysis of selected facility housing units in the California Department of Corrections. The review was conducted under the authority vested in the Auditor General by Section 10527 of the Government Code.

We did not perform a full financial audit of the institutions or their financial statements and therefore we do not express an opinion on them. This disclaimer of opinion is required by Rule 58.2 of the California Accountancy Act when the name of certified public accountants is associated with unaudited financial statements, or portions thereof, such as those attached to this report.

We analyzed the housing costs of the California State Prison at San Quentin; the California State Prison at Folsom; the Deuel Vocational Institution (DVI), Tracy; the Correctional Training Facility (CTF), Soledad; and the California Institution for Women (CIW), Frontera.

Our report is an informational report in that we have compared the differing costs between institutions, but have made no recommendations concerning the costs presented.

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BACKGROUND

Inmates at the five institutions we analyzed are assigned to various housing units depending upon the level of custody and/or type of treatment required. Not all institutions maintain a full spectrum of special housing units, but at each institution that we visited there was at least one unit specifically dedicated to controlling difficult prisoners.

Using financial and other institutional records for fiscal year 1975-76, we determined the cost of operating the following types of housing units:

<u>Type of Housing Unit and Institution</u>	<u>Type of Inmate Assigned to Unit</u>
Condemned Row (San Quentin)	Inmates sentenced to death.
Security Housing Unit (SHU) (San Quentin) (Folsom) (DVI) (CTF)	Inmates who, through action or demonstrated behavior, present an imminent threat to the safety and security of the institution, the staff or other inmates.
Management Control Unit (San Quentin) (CTF) (DVI)	Inmates who do not require the intense security and control of a SHU but who cannot be adequately supervised within the relative freedom of a general population setting.
Protective Housing Unit (DVI) (CTF)	Inmates who require protection from other inmates.
Ranch (San Quentin) (Folsom) (DVI)	Inmates who require minimum custody and security and who generally work at job assignments requiring minimum supervision outside the main prison walls.
Hospital (San Quentin) (CIW) (Folsom) (DVI) (Soledad)	Inmates who require inpatient medical treatment. Outpatient services are also provided through this unit to inmates residing in other units in the institution.

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<u>Type of Housing Unit and Institution</u>	<u>Type of Inmate Assigned to Unit</u>
Psychiatric Treatment Unit (CIW)	Inmates who require special treatment or custody for management and security purposes. (Women sentenced to death have been confined to a special area in this unit.)
Reception Center (CIW)	Inmates who require temporary assignment to a housing unit pending the results of institutional testing or court decisions.
General Population (San Quentin) (Folsom) (DVI) (CTF) (CIW)	All inmates not residing in the above listed units.

Our Letter Report 282.2, issued June 27, 1977, provided the yearly housing costs for inmates at San Quentin and the California Institution for Women. These costs are again noted in this report to provide a broader basis for comparison.

STUDY RESULTS

This report presents the costs to the State to house inmates for fiscal year 1975-76 in the various housing units of those institutions we studied.

The accounting and financial records of the institutions we examined do not accumulate operating costs by type of housing unit. Therefore, we developed these costs by assigning direct costs to the appropriate units and allocating indirect institutional costs, such as administrative overhead, where appropriate. We verified the appropriateness of the assignments through tests of the institutions' accounting records and the allocations through discussions with institution officials.

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General Population

The cost of housing general population inmates ranges from \$6,019 to \$8,125 per inmate per year in the five institutions we studied. The per inmate costs for the general population is lower than for the higher security units primarily because of the lower custody staff levels required in the general population. Table I presents the cost per inmate per year and the average daily population levels for the general population inmates.

TABLE I
SCHEDULE OF
GENERAL POPULATION COSTS,
POPULATION AND STAFFING RATIO
FISCAL YEAR 1975-76

	<u>Institution</u>				
	<u>CIW</u>	<u>San Quentin</u>	<u>DVI</u>	<u>CTF</u>	<u>Folsom</u>
FY 1975-76 Cost per Inmate per Year	\$8,125	\$7,371	\$7,260	\$6,152	\$6,019
Average Unit Population	579	1,629	1,021	1,992	1,509
Inmate to Correctional Officer Ratio	5.0:1	5.1:1	5.6:1	7.3:1	5.8:1

(Unaudited)

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Special Security Units

Inmates who pose a special threat to other inmates or the institution staff may, for varying periods of time, be assigned to a specially secured housing unit. These units are designed to maintain a high level of custody and confinement, and therefore, the ratio of correctional staff to inmates is greater than in any of the other units.

The Security Housing Units (SHU) at the four institutions for male inmates provide the greatest level of detention and custody. The cost of maintaining an inmate in these units is generally double the cost of maintaining an inmate within the general population.

The Management Control Units (MCU) also provide a higher degree of detention and custody and consequently incur significantly higher costs per inmate.

Tables II and III display the cost to house inmates in SHUs and MCUs, respectively, at the institutions that we studied.

TABLE II
SCHEDULE OF
SECURITY HOUSING UNITS
COSTS, POPULATION AND STAFFING RATIO
FISCAL YEAR 1975-76

	Institution			
	<u>San Quentin</u>	<u>DVI</u>	<u>Folsom</u>	<u>CTF</u>
FY 1975-76 Cost per Inmate per Year	\$16,030	\$15,542	\$13,638	\$11,502
Average Unit Population	69	100	89	114
Inmate to Correction Officer Ratio	1.5:1	1.5:1	1.8:1	2.5:1
	<u>(Unaudited)</u>			

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TABLE III
SCHEDULE OF
MANAGEMENT CONTROL UNITS
COSTS, POPULATION AND STAFFING RATIO
FISCAL YEAR 1975-76

	Institution		
	<u>San Quentin</u>	<u>DVI</u>	<u>CTF</u>
FY 1975-76 Cost per Inmate per Year	\$16,281	\$12,838	\$9,093
Average Unit Population	70	55	225
Inmate to Correctional Officer Ratio	1.4:1	2.1:1	5.4:1
	<u>(Unaudited)</u>		

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Protective Housing Units

Inmates who require protection from other inmates are housed in Protective Housing Units (PHU). These inmates generally do not pose the same threat as the SHU or MCU inmates, but do require isolation from the general inmate population. In fiscal year 1975-76, inmates requiring protective housing at Folsom and San Quentin were maintained in a separate section of the SHU at SHU unit costs. At Deuel Vocational Institution and CTF, Soledad, protective custody inmates were housed in separate units with the resulting cost per inmate significantly lower because of the lower custody requirements. Table IV displays the cost per inmate housed in separate PHUs at DVI and CTF.

TABLE IV
SCHEDULE OF
PROTECTIVE HOUSING UNITS
COSTS, POPULATION AND STAFFING RATIO
FISCAL YEAR 1975-76

	Institution	
	<u>CTF</u>	<u>DVI</u>
FY 1975-76 Cost per Inmate per Year	\$7,860	\$7,785
Average Unit Population	200	111
Inmate to Correctional Officer Ratio	4.5:1	4.7:1

(Unaudited)

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Ranch

The Ranch is a designated unit at DVI, San Quentin and Folsom.* Because of the minimum custody requirement for inmates residing in these units, staffing ratios and costs are generally less than for any other housing unit of the institution. Table V displays the cost per inmate housed in the Ranch at Folsom, DVI and San Quentin.

TABLE V
SCHEDULE OF RANCH
COSTS, POPULATION AND STAFFING RATIO
FISCAL YEAR 1975-76

	Institution		
	<u>Folsom</u>	<u>San Quentin</u>	<u>DVI</u>
FY 1975-76 Cost per Inmate per Year	\$6,066	\$5,298	\$4,522
Average Unit Population	109	142	14
Inmate to Correctional Officer Ratio	5.6:1	8.7:1	15.8:1
	<u>(Unaudited)</u>		

* Folsom Prison recently discontinued its Ranch and now houses these inmates within the general population.

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Hospitals/Infirmaries

Medical services are provided to inmates at each of the institutions included in our analysis. Each facility provides typical outpatient treatment and, in addition, has a hospital unit that is capable of treating inmates who need hospitalization. These hospitals range in size from a 26-bed facility at DVI to an 82-bed facility at San Quentin.

At DVI, CTF and Folsom the hospital bed utilization ratio ranges from 3.8 percent to 21.9 percent as illustrated in Table VI.

TABLE VI
SCHEDULE OF
HOSPITAL BED CAPACITY
AND UTILIZATION
FISCAL YEAR 1975-76

	Institution				
	<u>DVI</u>	<u>Folsom</u>	<u>CTF</u>	<u>CIW</u>	<u>San Quentin</u>
Hospital Bed Capacity	26	55	32	37	82
Average Daily Hospital Population	1	10	7	15	40
Percent of Hospital Facility Utilization	3.8	18.2	21.9	40.5	48.8

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The low-bed utilization at DVI, CTF and Folsom is partially attributable to the use of outside facilities and other hospitals within the California Department of Corrections (CDC) system.

The direct cost of both in-and-outpatient services to inmates is provided in Table VII.

TABLE VII					
SCHEDULE OF MEDICAL SERVICES COSTS FISCAL YEAR 1975-76					
	Institution				
	<u>DVI</u>	<u>CTF</u>	<u>Folsom</u>	<u>CIW</u>	<u>San Quentin</u>
Total Direct Medical Service Costs	\$792,400	\$1,100,200	\$868,000	\$706,400	\$1,851,900
Direct Medical Service Cost per Inmate per Year	609	433	506	938	930
(Unaudited)					

Total medical services costs including allocations for overhead and custody costs at each institution are provided in Schedules 1 through 5.

The Department of Finance is concluding a nine-month study of hospitals within the CDC system and will address the issue of hospital staff utilization in their report.

Total Institution

Table VIII below summarizes the total operating costs for the five institutions that we studied. Schedules 1 through 5 provide detailed institutional costs by both housing unit and line item of expenditure. We did not allocate total hospital cost to the hospital inpatient population because a portion of the cost is for services not directly associated with inpatients.

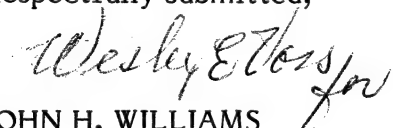
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TABLE VIII
SCHEDULE OF
TOTAL INSTITUTIONAL COSTS
POPULATION AND STAFFING RATIO
FISCAL YEAR 1975-76

	Institution				
	<u>CIW</u>	<u>San Quentin</u>	<u>DVI</u>	<u>CTF</u>	<u>Folsom</u>
Total Cost per Institution	\$7,782,000	\$18,211,700	\$11,428,000	\$18,440,900	\$12,026,700
FY 1975-76 Cost per Inmate per Year	10,335	9,140	8,777	7,266	7,004
Average Institution Population	753	1,992	1,302	2,538	1,717
Inmate to Correctional Officer Ratio	4.0:1	4.1:1	4.4:1	6.2:1	5.1:1

(Unaudited)

Respectfully submitted,


JOHN H. WILLIAMS
Auditor General

Staff: Harold L. Turner, Audit Manager; Robert J. Maloney
Michael L. McGarity; Edwin H. Shepherd

Attachments: Response to the Auditor General's Report

Schedule 1--Institutional Costs, California Institution for Women--Frontera, Fiscal Year 1975-76

Schedule 2--Institutional Costs, California State Prison at San Quentin, Fiscal Year 1975-76

Schedule 3--Institutional Costs, Deuel Vocational Institution--Tracy, Fiscal Year 1975-76

Schedule 4--Institutional Costs, California Training Facility--Soledad, Fiscal Year 1975-76

Schedule 5--Institutional Costs, California State Prison at Folsom, Fiscal Year 1975-76

Memorandum

Date : October 6, 1977

To : Mr. John H. Williams, Auditor General
Joint Legislative Audit Committee
Office of the Auditor General
925 L Street, Suite 750
Sacramento, CA 95814

From : ATTN: Mr. Robert J. Maloney
Department of Corrections, Sacramento 95814

Subject: Letter Report 282.3

We appreciate this opportunity to review the findings contained in the draft report of the Auditor General covering a cost analysis of selected housing units in the Department of Corrections.

* * *

This report appears to be well prepared and will provide assistance in managing our selected facility housing units.



J. J. ENOMOTO
Director of Corrections

* Comments deleted referred to items shown in draft report but not included in this report.

SCHEDULE 1

INSTITUTIONAL COSTS
CALIFORNIA INSTITUTION FOR WOMEN--FRONTIERA
Fiscal Year 1975-76
(Unaudited)

-----TYPE OF HOUSING-----					
	Psychiatric Treatment Unit	Reception Center	General Population	Hospital	All Units
TOTAL COST					
Personnel Services--Direct					
Custody	\$406,400	\$ 668,900	\$1,938,600	\$ 67,900	\$3,081,800
Other	244,100	231,600	303,000	455,800	1,234,500
Personnel Services--Indirect	132,600	226,000	1,306,900	34,000	1,699,500
Total Personnel Services	<u>783,100</u>	<u>1,126,500</u>	<u>3,548,500</u>	<u>557,700</u>	<u>6,015,800</u>
Operating Expenses	119,800	206,800	1,156,200	283,400	1,766,200
Total Expenses	<u>\$902,900</u>	<u>\$1,333,300</u>	<u>\$4,704,700</u>	<u>\$841,100</u>	<u>\$7,782,000</u>

COST PER INMATE YEAR

Personnel Services--Direct					
Custody	\$ 6,888	\$ 6,689	\$ 3,348		\$ 4,093
Other	4,137	2,316	523		1,639
Personnel Services--Indirect	2,247	2,260	2,257		2,257
Total Personnel Services	<u>13,272</u>	<u>11,265</u>	<u>6,128</u>		<u>7,989</u>
Operating Expenses	2,031	2,068	1,997		2,346
Total Expenses	<u>\$ 15,303</u>	<u>\$ 13,333</u>	<u>\$ 8,125</u>		<u>\$ 10,335</u>

Average Daily Population	59	100	579	15	753
		(Unaudited)		(Inpatients)	

SCHEDULE 2

INSTITUTIONAL COSTS
CALIFORNIA STATE PRISON AT SAN QUENTIN
Fiscal Year 1975-76
(Unaudited)

-----TYPE OF HOUSING-----							
TOTAL COST	Condemned	Security	Management	Ranch	General	Hospital	All Units
	Row	Housing Unit	Control Unit		Population		
Personnel Services--Direct							
Custody	\$524,100	\$ 822,500	\$ 886,100	\$296,300	\$ 5,772,400	\$ 405,700	\$ 8,707,100
Other	32,400	61,000	25,600	29,700	737,800	1,537,700	2,424,200
Personnel Services--Indirect	48,800	80,200	81,400	165,100	1,893,600	46,500	2,315,600
Total Personnel Services	605,300	963,700	993,100	491,100	8,403,800	1,989,900	13,446,900
Operating Expenses	84,100	142,500	146,700	261,600	3,601,600	528,300	4,764,800
Total Expenses	\$689,400	\$1,106,200	\$1,139,800	\$752,700	\$12,005,400	\$2,518,200	\$18,211,700

COST PER INMATE YEAR

Personnel Services--Direct							
Custody	\$ 12,477	\$ 11,920	\$ 12,658	\$ 2,086	\$ 3,543	\$ 4,371	\$ 4,371
Other	772	883	365	208	452	1,216	1,216
Personnel Services--Indirect	1,162	1,162	1,162	1,162	1,162	1,162	1,162
Total Personnel Services	14,411	13,965	14,185	3,456	5,157	6,749	6,749
Operating Expenses	2,002	2,065	2,096	1,842	2,214	2,391	2,391
Total Expenses	\$16,413	\$ 16,030	\$ 16,281	\$ 5,298	\$ 7,371	\$ 9,140	\$ 9,140

Average Daily Population

42

69

70

142

1,629

(Inpatients)

40

1,992

(Unaudited)

SCHEDULE 3

INSTITUTIONAL COSTS
DEUEL VOCATIONAL INSTITUTION--TRACY
Fiscal Year 1975-76
(Unaudited)

	-----TYPE OF HOUSING-----						
TOTAL COST -	Security Housing Unit	Management Control Unit	Protective Housing Unit	Ranch	Hospital	Population	All Units
Personnel Services--Direct							
Custody	\$1,186,200	\$496,600	\$459,700	\$ 17,300	\$ 30,200	\$3,395,100	\$ 5,585,100
Other	44,500	34,300	53,800	1,000	708,900	790,900	1,633,400
Personnel Services--Indirect	144,400	78,700	159,300	20,600	1,900	1,469,600	1,874,500
Total Personnel Services	1,375,100	609,600	672,800	38,900	741,000	5,655,600	9,093,000
Operating Expenses	179,100	96,500	191,300	24,400	85,900	1,757,800	2,335,000
Total Expenses	\$1,554,200	\$706,100	\$864,100	\$ 63,300	\$826,900	\$7,413,400	\$11,428,000

COST PER INMATE YEAR

Personnel Services--Direct						
Custody	\$ 11,862	\$ 9,029	\$ 4,141	\$ 1,236	\$	4,290
Other	445	624	485	72		1,254
Personnel Services--Indirect	1,444	1,431	1,435	1,471		1,440
Total Personnel Services	<u>13,751</u>	<u>11,084</u>	<u>6,061</u>	<u>2,779</u>		<u>6,984</u>
Operating Expenses	1,791	1,754	1,724	1,743		1,793
Total Expenses	<u>\$ 15,542</u>	<u>\$ 12,838</u>	<u>\$ 7,785</u>	<u>\$ 4,522</u>	<u>\$ 7,261</u>	<u>\$ 8,777</u>

Average Daily Population	100	55	111	14	1	1,021	1,302
			(Unaudited)		(Inpatient)		

SCHEDULE 4

INSTITUTIONAL COSTS
CALIFORNIA TRAINING FACILITY--SOLEDAD
Fiscal Year 1975-76
(Unaudited)

TOTAL COST	-----TYPE OF HOUSING-----				
	Security Housing Unit	Management Control Unit	Protective Housing Unit	Hospital	General Population
Personnel Services--Direct					
Custody	\$ 955,100	\$1,420,200	\$ 970,800	\$ 138,800	\$ 6,223,900
Other	46,200	71,100	57,500	929,500	798,800
Personnel Services--Indirect	119,200	170,000	209,100	7,300	1,750,000
Total Personnel Services	1,120,500	1,661,300	1,237,400	1,075,600	8,772,700
Operating Expenses	190,700	384,500	334,700	182,400	3,481,100
Total Expenses	<u>\$1,311,200</u>	<u>\$2,045,800</u>	<u>\$1,572,100</u>	<u>\$1,258,000</u>	<u>\$12,253,800</u>
					<u>\$18,440,900</u>

COST PER INMATE YEAR

Personnel Services--Direct					
Custody	\$ 8,378	\$ 6,312	\$ 4,854	\$ 3,124	\$ 3,825
Other	405	316	288	401	750
Personnel Services--Indirect	1,046	756	1,045	879	889
Total Personnel Services	9,829	7,384	6,187	4,404	5,464
Operating Expenses	1,673	1,709	1,673	1,748	1,802
Total Expenses	<u>\$ 11,502</u>	<u>\$ 9,093</u>	<u>\$ 7,860</u>	<u>\$ 6,152</u>	<u>\$ 7,266</u>

Average Daily Population	114	225	200	7	1,992
		(Unaudited)		(Inpatients)	2,538

SCHEDULE 5

INSTITUTIONAL COSTS
CALIFORNIA STATE PRISON AT FOLSOM
Fiscal Year 1975-76
(Unaudited)

	-----TYPE OF HOUSING-----				
	Security Housing Unit	General Population	Ranch	Hospital	All Units
TOTAL COST					
Personnel Services--Direct					
Custody	\$ 908,600	\$4,789,000	\$357,500	\$ 175,000	\$ 6,230,100
Other	78,700	548,600	35,100	786,000	1,448,400
Personnel Services--Indirect	83,300	1,408,600	101,000	9,600	1,602,500
Total Personnel Services	1,070,600	6,746,200	493,600	970,600	9,281,000
Operating Expenses	143,200	2,335,900	167,500	99,100	2,745,700
Total Expenses	<u>\$1,213,800</u>	<u>\$9,082,100</u>	<u>\$661,100</u>	<u>\$1,069,700</u>	<u>\$12,026,700</u>

COST PER INMATE YEAR

Personnel Services--Direct					
Custody	\$ 10,209	\$ 3,174	\$ 3,280		\$ 3,628
Other	884	364	322		844
Personnel Services--Indirect	936	933	927		933
Total Personnel Services	12,029	4,471	4,529		5,405
Operating Expenses	1,609	1,548	1,537		1,599
Total Expenses	<u>\$ 13,638</u>	<u>\$ 6,019</u>	<u>\$ 6,066</u>		<u>\$ 7,004</u>

Average Daily Population	89	1,509	109	10	1,717
		(Unaudited)		(Inpatients)	